

09-27-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. A01020B
 First Inventor Subba Reddy Palli et al.
 Title Novel Ecdysone Receptor-Based Inducible Gene...
 Express Mail Label No. EF385423031US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
 (Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 94]
 (preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. Oath or Declaration [Total Pages]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))
 (for continuation/divisional with Box 18 completed)
- ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s)
 named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☒ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☒ paper
- c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS Citations]
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other. (Unassigned Doc/PDA & CRF/Paper Copy Sequence Listing (94 pages) Seq. Cert. (1 page))

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part(CIP)

of prior application No.: PCT/US01/09050

Prior application information:

Examiner:

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19 CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer Number or Bar Code label here)

or ☐ Correspondence address below

Name

21898

PATENT, TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Rachel H. Rondinelli, Ph.D.

Registration No. (Attorney/Agent)

45,052

Signature

Rachel H. Rondinelli

Date

September 26, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 1878

Complete if Known

Application Number	
Filing Date	Herewith
First Named Inventor	Subba Reddy Palli et al.
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	A01020B

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to
- Deposit Account Number **18-1850**
- Deposit Account Name **Rohm and Haas Company**
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee Code	Fee Description	Fee Paid
Code (\$)	Code (\$)				
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 710

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
36	-20** = 16	18	288
14	-3** = 11	80	880
Multiple Dependent		270	0

Large Entity Small Entity

Fee Code	Fee Code	Fee Description
Code (\$)	Code (\$)	
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 1168

**or number previously paid, if greater, For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee Code	Fee Description	Fee Paid
Code (\$)	Code (\$)				
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(g)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print/Type)	Rachel H. Rondinelli, Ph.D.	Registration No (Attorney/Agent)	45,052	Complete (if applicable)	
Signature	<i>Rachel H. Rondinelli</i>	Telephone	215-619-5837	Date	September 26, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Washington, DC 20231

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket Number: A01020B

RHR:bk

In re application of:

Subba Reddy Palli et al.

Serial No: not yet assigned : Group Art Unit: not yet assigned

Filed: Herewith : Examiner: not yet assigned

For: **NOVEL ECDYSONE RECEPTOR-BASED INDUCIBLE GENE EXPRESSION
SYSTEM**BOX: Patent Application
Assistant Commissioner of Patents
Washington, DC 20231

SUBMISSION OF "SEQUENCE LISTING"

CERTIFICATE OF EXPRESS MAILING

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as express mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on the date indicated next to my signature below. Submitted herewith is a copy of each "Sequence Listing" submitted for this application in computer readable form, in accordance with the requirements of 37 C.F.R. §§ 1.821(e) and 1.824.

Utility Patent Application Transmittal Letter

Fee Sheet (in duplicate)

Non-Provisional Application with Drawings (19 figures, 8 pages)

Hard copy Sequence Listing (84 Pages) & CRF Diskette of Sequence Listing

CRF Certification (1 page)

"Unsigned Declaration/Power of Attorney"

Return Receipt Postcard

September 26, 2001
Date

Becky Knauth
Signature

U.S. Postal Service Express Mail Label No. EF385423031US

09965703-1092601

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

US Non-Provisional Application: Filed Concurrently Herewith
Filing Date: September 26, 2001
Inventors: Subba Reddy Palli et al.
Attorney Docket Number: A01020B

Title: Novel Ecdysone Receptor-Based Inducible Gene Expression System

To: Assistant Commissioner of Patents
Washington, D.C. 20231

Certification Under 37 CFR 1.10

EF385423031 US
"Express Mail" mailing number

September 26, 2001
Date of Deposit

I hereby certify that this paper and any accompanying papers is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

BECKY KNAUTH
(Typed or printed name of person mailing paper)

BECKY KNAUTH
(Signature of person mailing paper)

Dear Sir,

Please find enclosed a written sequence listing (paper copy) of the PatentIn 3.1 Sequence Listing filed together with the above-referenced application and a computer readable form (CRF) of this written sequence listing. I certify that the information recorded on the form is identical to the written sequence listing.

Respectfully submitted,

ROHM AND HAAS COMPANY
Patent Department
100 Independence Mall West
Philadelphia, PA 19106-2399

Rachel H. Rondinelli

Rachel H. Rondinelli, Ph.D.
Agent for Applicants
Registration No. 45,052

Dated: September 26, 2001

09965703-092601